

**PI Name:**

**Project Title:**

## ANNEX A

### CRITERIA QUESTIONNAIRE

- 1) Will the direct costs of the project exceed \$1 million per year and will at least 50% of such costs be expended outside the United States (either directly or through one or more subcontracts)?
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- 2) Will the project involve ongoing University operations in a non-U.S. country, such as the establishment of an office, leasing of space or an on-the-ground presence for more than a minimal period?
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a) If yes, for what period of time? \_\_\_\_\_

- 3) Will the project be located in, funded by, or involve travel to or collaboration with a country, or persons in a country, on the Treasury Department's Office of Foreign Assets Control list of sanctioned countries? If YES, what country?
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Will the project involve any transactions, whether compensated or uncompensated, with any restricted parties (i.e., individuals or entities on a U.S. Government restricted party list)? If YES, please identify the party in question.

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The list of sanctioned countries is available at <http://www.treasury.gov/resource-center/sanctions/Programs/Pages/Programs.aspx>. The lists of restricted parties are available at <https://www.bis.doc.gov/index.php/policy-guidance/lists-of-parties-of-concern>. (For assistance with screening, please contact SPA.)

- 4) Will the project involve (or has it involved at any stage, including during the pre-proposal stage) the payment, promise to pay or authorization to pay money or "anything of value" to any of the following entities (or to any officers, employees, or representatives of any of the following):
- a) a government, or a department, agency or instrumentality of a government,
  - b) a political party or candidate for political office,

- c) a public international organization (such as the United Nations or World Bank), or
- d) any other person or organization at the request of any government official?

This Criterion applies to subcontracts, subawards, and other contracts with any entities or persons identified above. This Criterion also applies to payments to any person who will in turn offer, promise or make a payment to any entity or persons identified in clauses (a) – (d). An “instrumentality” of a government includes state-owned or state-controlled entities, which can include (as examples) universities, banks, and energy and transportation companies.

“Anything of value” includes cash, fees, travel expenses, gifts, educational or executive training expenses, promises of future employment, reimbursements and other services or items of any value. “Anything of value” does not, however, include the conveyance of Columbia’s results to the sponsor under the project agreement.

- 5) Will the project involve the use of high risk materials (e.g., radioactive materials or certain biologic pathogens)?
  
- 6) Will the project receive funding from, or involve collaboration with, entities in either Saudi Arabia or Qatar? If yes, please identify the source of funding and the nature of the collaboration.

This question applies to projects receiving direct funding or in-kind contributions from any governmental, quasi-governmental, private, or corporate entities based in Saudi Arabia or Qatar. It also encompasses collaborations with academic institutions, businesses, and other organizations located within Saudi Arabia or Qatar.

- 7) Will the project receive funding from, or involve collaboration with, entities in Foreign Countries of Concern (“FCOC”), i.e. China, Iran, North Korea, or Russia? If yes, please specify the country, the source of the funding, and the nature of the collaboration.

This question addresses projects associated with countries identified by the U.S. Government in the Chips & Science Act of 2022 as “Foreign Countries of Concern” (FCOCs), currently China, Iran, North Korea, and Russia. This includes direct or indirect financial transactions, collaborations, or exchanges of research material or data with entities in these countries.

**PI Name:** \_\_\_\_\_

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**ANNEX B**

**INTERNATIONAL RESEARCH QUESTIONNAIRE**

1. Which non-U.S. countries do you expect to involve in your project?

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2. How long is the proposed grant period?

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3. What is the annual dollar amount of the grant and the source of funding? Are any “local” funds to be used in the conduct of the project?

\_\_\_\_\_

4. What activities do you expect to be involved in?

5. Do you expect to have Columbia employees or students located in a non-U.S. country? If so, (a) what will they be doing, and (b) how long will each be located in the non-U.S. country?

6. Will you have a local collaborator (either in the form of a local sponsor or subcontractee)? If so, what will they be doing? Will they be compensated? If so, how do you plan to compensate them?

7. Do you plan to (a) hire local employees in the project, (b) open local bank accounts or (c) enter into leases or other contracts for goods and services?

8. Will the project involve human subjects or recipients of services? If so, how will they be used or what services will be provided? Are there any vulnerable populations impacted? Please provide the status of the IRB protocol (e.g., approved, submitted but not yet approved, or not yet submitted) and IRB Protocol Number (if available).

9. Please describe any arrangements or understandings (written, oral, etc.), with any person involving the payment, promise to pay, or authorization to pay money or “anything of value” to any of the following entities (or to any officers, employees, or representatives of any of the following):

- a) a government or a department, agency or instrumentality of a government,
- b) a political party or candidate for political office, or
- c) a public international organization (such as the United Nations or World Bank), or
- d) any other person or organization at the request of any government official?

This question applies to subcontracts, subawards, and other contracts with any entities or persons identified above and also applies to payments to any person who will in turn offer, promise or make a payment to any entity or persons identified in clauses (a) –(d). Agreements to reimburse expenses are included in this question.

10. Have you had any previous projects in the non-U.S. country in which your proposed project will be located? If so, what was the nature of the project and were there any problems that arose?

11. Are you aware of any other Columbia projects in the non-U.S. country in which your proposed project will be located? If so, please identify.

12. What are the principal risks relating to the project that should be addressed?